

**FEC
FORM 3X****REPORT OF RECEIPTS
AND DISBURSEMENTS**
For Other Than An Authorized Committee

Office Use Only

1. NAME OF COMMITTEE (in full) TYPE OR PRINT ▼ Example: If typing, type over the lines.

12FE4M5

Securities Industry and Financial Markets Association Political Action Committee

ADDRESS (number and street)

1101 New York Avenue, NW

8th Floor

Check if different
than previously
reported. (ACC)

Washington

DC

20005

2. FEC IDENTIFICATION NUMBER ▼

CITY ▲

STATE ▲

ZIP CODE ▲

C C00431312

3. IS THIS
REPORTNEW
(N)

OR

AMENDED
(A)

4. TYPE OF REPORT

(Choose One)

(a) Quarterly Reports:

☐ April 15
Quarterly Report (Q1)☐ July 15
Quarterly Report (Q2)☐ October 15
Quarterly Report (Q3)☐ January 31
Year-End Report (YE)☐ July 31 Mid-Year
Report (Non-election
Year Only) (MY)☐ Termination Report
(TER)(b) Monthly
Report
Due On:☐ Feb 20 (M2)☐ May 20 (M5)☐ Aug 20 (M8)☐ Nov 20 (M11)
(Non-Election
Year Only)☐ Mar 20 (M3)☐ Jun 20 (M6)☐ Sep 20 (M9)☐ Dec 20 (M12)
(Non-Election
Year Only)☐ Apr 20 (M4)☐ Jul 20 (M7)☒ Oct 20 (M10)☐ Jan 31 (YE)

(c) 12-Day

PRE-Election

Report for the:

☐ Primary (12P)☐ Convention (12C)☐ General (12G)☐ Special (12S)☐ Runoff (12R)

Election on

M M M /

D D D /

Y Y Y Y Y Y Y Y

in the
State of

(d) 30-Day

POST-Election

Report for the:

☐ General (30G)☐ Runoff (30R)☐ Special (30S)

Election on

M M M /

D D D /

Y Y Y Y Y Y Y Y

in the
State of

5. Covering Period

M M M /

D D D /

Y Y Y Y Y Y Y Y

through

M M M /

D D D /

Y Y Y Y Y Y Y Y

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.

Bentsen, Kenneth E., Mr., Jr.

Type or Print Name of Treasurer

Signature of Treasurer

Bentsen, Kenneth E., Mr., Jr.

[Electronically Filed]

Date

M M M /

D D D /

Y Y Y Y Y Y Y Y

NOTE: Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 52 U.S.C. § 30109.

Office
Use
Only**FEC FORM 3X**
Rev. 05/2016

SUMMARY PAGE OF RECEIPTS AND DISBURSEMENTS

FEC Form 3X (Rev. 05/2016)

Page 2

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period: From: M M / D D / Y Y Y Y Y Y
09 / 01 / 2016 To: M M / D D / Y Y Y Y Y Y
09 / 30 / 2016

	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1, Y Y Y Y Y Y 2016		95134.17
(b) Cash on Hand at Beginning of Reporting Period.....	114595.77	
(c) Total Receipts (from Line 19)	46219.35	333318.38
(d) Subtotal (add Lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B).....	160815.12	428452.55
7. Total Disbursements (from Line 31).....	65415.13	333052.56
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d)).....	95399.99	95399.99
9. Debts and Obligations Owed TO the Committee (Itemize all on Schedule C and/or Schedule D)	0.00	
10. Debts and Obligations Owed BY the Committee (Itemize all on Schedule C and/or Schedule D)	0.00	

☒ This committee has qualified as a multicandidate committee. (see FEC FORM 1M)

For further information contact:

Federal Election Commission
999 E Street, NW
Washington, DC 20463

Toll Free 800-424-9530
Local 202-694-1100

DETAILED SUMMARY PAGE of Receipts

FEC Form 3X (Rev. 05/2016)

Page 3

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period:

From:

M	M	/	D	D	/	Y	Y	Y	Y
0	9		0	1		2	0	1	6

To:

M	M	/	D	D	/	Y	Y	Y	Y
0	9		3	0		2	0	1	6

I. Receipts	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
11. Contributions (other than loans) From:		
(a) Individuals/Persons Other Than Political Committees		
(i) Itemized (use Schedule A).....	27611.16	234001.35
(ii) Unitemized	3193.06	7904.89
(iii) TOTAL (add Lines 11(a)(i) and (ii)).....▶	30804.22	241906.24
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs).....	15000.00	88500.00
(d) Total Contributions (add Lines 11(a)(iii), (b), and (c)) (Carry Totals to Line 33, page 5)	45804.22	330406.24
12. Transfers From Affiliated/Other Party Committees.....	0.00	0.00
13. All Loans Received	0.00	0.00
14. Loan Repayments Received.....	0.00	0.00
15. Offsets To Operating Expenditures (Refunds, Rebates, etc.) (Carry Totals to Line 37, page 5).....	415.13	2912.14
16. Refunds of Contributions Made to Federal Candidates and Other Political Committees.....	0.00	0.00
17. Other Federal Receipts (Dividends, Interest, etc.).....	0.00	0.00
18. Transfers from Non-Federal and Levin Funds		
(a) Non-Federal Account (from Schedule H3)	0.00	0.00
(b) Levin Funds (from Schedule H5)	0.00	0.00
(c) Total Transfers (add 18(a) and 18(b))..	0.00	0.00
19. Total Receipts (add Lines 11(d), 12, 13, 14, 15, 16, 17, and 18(c))	46219.35	333318.38
20. Total Federal Receipts (subtract Line 18(c) from Line 19)	46219.35	333318.38

DETAILED SUMMARY PAGE of Disbursements

FEC Form 3X (Rev. 05/2016)

Page 4

II. Disbursements	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:		
(a) Allocated Federal/Non-Federal Activity (from Schedule H4)		
(i) Federal Share	0.00	0.00
(ii) Non-Federal Share.....	0.00	0.00
(b) Other Federal Operating Expenditures	415.13	3052.56
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii), and (b))	415.13	3052.56
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	65000.00	330000.00
24. Independent Expenditures (use Schedule E)	0.00	0.00
25. Coordinated Party Expenditures (52 U.S.C. § 30116(d)) (use Schedule F).....	0.00	0.00
26. Loan Repayments Made.....	0.00	0.00
27. Loans Made.....	0.00	0.00
28. Refunds of Contributions To:		
(a) Individuals/Persons Other Than Political Committees	0.00	0.00
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs).....	0.00	0.00
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c)).....	0.00	0.00
29. Other Disbursements (Including Non-Federal Donations).....	0.00	0.00
30. Federal Election Activity (52 U.S.C. § 30101(20))		
(a) Allocated Federal Election Activity (from Schedule H6)		
(i) Federal Share	0.00	0.00
(ii) "Levin" Share.....	0.00	0.00
(b) Federal Election Activity Paid Entirely With Federal Funds	0.00	0.00
(c) Total Federal Election Activity (add Lines 30(a)(i), 30(a)(ii) and 30(b))	0.00	0.00
31. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), 29 and 30(c)) ..	65415.13	333052.56
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	65415.13	333052.56

DETAILED SUMMARY PAGE
of Disbursements

FEC Form 3X (Rev. 05/2016)

Page 5

III. Net Contributions/ Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
33. Total Contributions (other than loans) (from Line 11(d), page 3)	45804.22	330406.24
34. Total Contribution Refunds (from Line 28(d))	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33)	45804.22	330406.24
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b))	415.13	3052.56
37. Offsets to Operating Expenditures (from Line 15, page 3).....	415.13	2912.14
38. Net Operating Expenditures (subtract Line 37 from Line 36)	0.00	140.42

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 6 OF 42

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. Belton, Tracy, M., , CFP

Mailing Address 880 Carillon Pkwy

City
Saint Petersburg

State
FL

Zip Code
33716-1102

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)

Raymond James Financial, Inc.

Occupation (for Individual)

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
09 / 28 / 2016

Transaction ID : 3CF0F64D378E430B88EE

Amount of Each Receipt this Period

1000.00

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B. Bentsen, Kenneth, E., , Jr.

Mailing Address 1101 New York Ave NW
8th Floor

City
Washington

State
DC

Zip Code
20005

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
President & CEO

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3847.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
09 / 14 / 2016

Transaction ID : 2016091210174-1000

Amount of Each Receipt this Period

192.35

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C. Bentsen, Kenneth, E., , Jr.

Mailing Address 1101 New York Ave NW
8th Floor

City
Washington

State
DC

Zip Code
20005

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
President & CEO

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

3847.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
09 / 28 / 2016

Transaction ID : 20160926142753-1000

Amount of Each Receipt this Period

192.35

☐ Memo Item

SUBTOTAL of Receipts This Page (optional).....▶

TOTAL This Period (last page this line number only).....▶

1384.70

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

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☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. Bleier, Lisa, J., ,

Mailing Address 1101 New York Ave NW
8th Floor

City
Washington

State
DC

Zip Code
20005

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
MD, Fed Gov't Rel & AGC

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

384.60

Date of Receipt

09 / 14 / 2016

Transaction ID : 2016091210174-1001

Amount of Each Receipt this Period

19.23

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B. Bleier, Lisa, J., ,

Mailing Address 1101 New York Ave NW
8th Floor

City
Washington

State
DC

Zip Code
20005

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
MD, Fed Gov't Rel & AGC

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

384.60

Date of Receipt

09 / 28 / 2016

Transaction ID : 20160926142753-1001

Amount of Each Receipt this Period

19.23

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C. Blessing, Kalita, Beck, ,

Mailing Address 880 Carillon Pkwy

City
Saint Petersburg

State
FL

Zip Code
33716-1102

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Quest Capital Management

Occupation (for Individual)
Financial Advisor

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

09 / 27 / 2016

Transaction ID : 1C2D45B320BD4FA29B22

Amount of Each Receipt this Period

1000.00

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

1038.46

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 8 OF 42

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. Brandon, Kyle, L., ,

Mailing Address 120 Broadway
35th Floor

City
New York

State
NY

Zip Code
10271

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
MD, Dir of Research

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1923.00

Date of Receipt

09 / 14 / 2016

Transaction ID : 2016091210174-1002

Amount of Each Receipt this Period

96.15

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B. Brandon, Kyle, L., ,

Mailing Address 120 Broadway
35th Floor

City
New York

State
NY

Zip Code
10271

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
MD, Dir of Research

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1923.00

Date of Receipt

09 / 28 / 2016

Transaction ID : 20160926142753-1002

Amount of Each Receipt this Period

96.15

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C. Butler, Christopher, R., ,

Mailing Address 880 Carillon Pkwy

City
Saint Petersburg

State
FL

Zip Code
33716-1102

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Raymond James & Associates, Inc.

Occupation (for Individual)
Senior Vice President, Investment Prod

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

250.00

Date of Receipt

09 / 30 / 2016

Transaction ID : 7BC16FFDA5B24F9FBB8D

Amount of Each Receipt this Period

250.00

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

442.30

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 9 OF 42

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. **Cacmise, William, , ,**

Mailing Address 35 Coleytown Rd

City
Westport

State
CT

Zip Code
06880-1528

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Bank of America Merrill Lynch

Occupation (for Individual)
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
09 / 22 / 2016

Transaction ID : 3816F403B6E7480AAB21

Amount of Each Receipt this Period

5000.00

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B. **Chamberlain, Kimberly, H., ,**

Mailing Address 1101 New York Ave NW
8th Floor

City
Washington

State
DC

Zip Code
20005

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

770.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
09 / 14 / 2016

Transaction ID : 2016091210174-1003

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C. **Chamberlain, Kimberly, H., ,**

Mailing Address 1101 New York Ave NW
8th Floor

City
Washington

State
DC

Zip Code
20005

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

770.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
09 / 28 / 2016

Transaction ID : 20160926142753-1003

Amount of Each Receipt this Period

38.50

☐ Memo Item

SUBTOTAL of Receipts This Page (optional).....▶

5077.00

TOTAL This Period (last page this line number only).....▶

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

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☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. Crispen, Cheryl, L., ,

Mailing Address 1101 New York Ave NW
8th Floor

City
Washington

State
DC

Zip Code
20005

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
EVP, Communication & Mktg

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1923.00

Date of Receipt

09 / 14 / 2016

Transaction ID : 2016091210174-1005

Amount of Each Receipt this Period

96.15

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B. Crispen, Cheryl, L., ,

Mailing Address 1101 New York Ave NW
8th Floor

City
Washington

State
DC

Zip Code
20005

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
EVP, Communication & Mktg

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1923.00

Date of Receipt

09 / 28 / 2016

Transaction ID : 20160926142753-1005

Amount of Each Receipt this Period

96.15

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C. Dunbar, Bruce, , ,

Mailing Address 4968 High Meadow Ln

City
Ann Arbor

State
MI

Zip Code
48103-8839

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Legacy Financial, Inc

Occupation (for Individual)
President

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

250.00

Date of Receipt

09 / 30 / 2016

Transaction ID : 5F8A201A351B42EDB8A3

Amount of Each Receipt this Period

250.00

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

442.30

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 11 OF 42
 (check only one)
☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. Edgell, Bradley, G., ,

Mailing Address 1101 New York Ave NW
8th Floor

City
Washington

State
DC

Zip Code
20005

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
MD, Fed Gov't Relations

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

770.00

Date of Receipt

MM / DD / YYYY
09 / 14 / 2016

Transaction ID : 2016091210174-1006

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B. Edgell, Bradley, G., ,

Mailing Address 1101 New York Ave NW
8th Floor

City
Washington

State
DC

Zip Code
20005

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
MD, Fed Gov't Relations

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

770.00

Date of Receipt

MM / DD / YYYY
09 / 28 / 2016

Transaction ID : 20160926142753-1006

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C. Eichler, Tracy, H., ,

Mailing Address 120 Broadway
35th Floor

City
New York

State
NY

Zip Code
10271

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
MD, Private Client Group

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

796.85

Date of Receipt

MM / DD / YYYY
09 / 14 / 2016

Transaction ID : 2016091210174-1007

Amount of Each Receipt this Period

43.48

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

120.48

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTSUse separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER: PAGE 12 OF 42
(check only one)

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
<input type="checkbox"/> 17			

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. Eichler, Tracy, H., ,Mailing Address 120 Broadway
35th FloorCity
New YorkState
NYZip Code
10271FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial MarkOccupation (for Individual)
MD, Private Client Group

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

796.85

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
09		28		2016

Transaction ID : 20160926142753-1007

Amount of Each Receipt this Period

43.48

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B. Elwyn, Tashtego, , ,

Mailing Address 880 Carillon Pkwy

City

Saint Petersburg

State

FL

Zip Code

33716-1102

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Raymond James Financial, Inc.Occupation (for Individual)
President, PCG

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
09		25		2016

Transaction ID : 1B7DA709D5104133BBBD

Amount of Each Receipt this Period

1000.00

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C. Enoch, Jillian, N., ,Mailing Address 1101 New York Ave NW
8th Floor

City

Washington

State

DC

Zip Code

20005

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial MarkOccupation (for Individual)
VP, Fed Govt Relations

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

204.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
09		28		2016

Transaction ID : 20160926142753-1008

Amount of Each Receipt this Period

12.00

☐ Memo Item**SUBTOTAL** of Receipts This Page (optional).....▶

1055.48

TOTAL This Period (last page this line number only).....▶

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTSUse separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 13 OF 42

(check only one)

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
<input type="checkbox"/> 17			

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. Falconi, Jack, W., Jr.

Mailing Address 2 S 9th St

City
RichmondState
VAZip Code
23219-3920FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
BB & T Capital MarketsOccupation (for Individual)
Senior Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

300.00

Date of Receipt

M M M	D D D	Y Y Y Y Y Y
09	01	2016

Transaction ID : 65842B75330F4890A57E

Amount of Each Receipt this Period

300.00

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B. Flitton, Jennifer, , ,Mailing Address 1101 New York Ave NW
Ste 800City
WashingtonState
DCZip Code
20005-4279FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial MarkOccupation (for Individual)
Managing Director, Federal Governmer

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M M	D D D	Y Y Y Y Y Y
09	22	2016

Transaction ID : 2FD59192A3544F0B90FA

Amount of Each Receipt this Period

1000.00

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C. Fues, Lisa, , ,Mailing Address 1101 New York Ave NW
8th FloorCity
WashingtonState
DCZip Code
20005FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial MarkOccupation (for Individual)
MD, CEO's Office

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

384.60

Date of Receipt

M M M	D D D	Y Y Y Y Y Y
09	14	2016

Transaction ID : 2016091210174-1009

Amount of Each Receipt this Period

19.23

☐ Memo Item**SUBTOTAL** of Receipts This Page (optional)..... ►

1319.23

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 14 OF 42

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. Fues, Lisa, , ,

Mailing Address 1101 New York Ave NW
8th Floor

City
Washington

State
DC

Zip Code
20005

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
MD, CEO's Office

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

384.60

Date of Receipt

M M / D D / Y Y Y Y Y Y
09 / 28 / 2016

Transaction ID : 20160926142753-1009

Amount of Each Receipt this Period

19.23

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B. Gibson, Marin, , ,

Mailing Address 120 Broadway
35th Floor

City
New York

State
NY

Zip Code
10271

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1923.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
09 / 14 / 2016

Transaction ID : 2016091210174-1010

Amount of Each Receipt this Period

96.15

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C. Gibson, Marin, , ,

Mailing Address 120 Broadway
35th Floor

City
New York

State
NY

Zip Code
10271

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

1923.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
09 / 28 / 2016

Transaction ID : 20160926142753-1010

Amount of Each Receipt this Period

96.15

☐ Memo Item

SUBTOTAL of Receipts This Page (optional).....▶

211.53

TOTAL This Period (last page this line number only).....▶

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 15 OF 42

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. Gledhill, Brent, , ,

Mailing Address 222 W Adams St

City
Chicago

State
IL

Zip Code
60606-5312

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
William Blair

Occupation (for Individual)
Global Head of Investment

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

850.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
09 / 30 / 2016

Transaction ID : 4D35502114B345A2FE3

Amount of Each Receipt this Period

850.00

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B. Graham, Adair, , ,

Mailing Address 2 S 9th St

City
Richmond

State
VA

Zip Code
23219-3920

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
BB&T Scott and Stringfellow

Occupation (for Individual)
Financial Advisor

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
09 / 09 / 2016

Transaction ID : C76AA3E109184CC2A6AF

Amount of Each Receipt this Period

250.00

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C. Green, Ellis, A., ,

Mailing Address 880 Carillon Pkwy

City
Saint Petersburg

State
FL

Zip Code
33716-1102

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Raymond James Financial, Inc.

Occupation (for Individual)
Sr. VP

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
09 / 22 / 2016

Transaction ID : D18C9658FAEC4C98BF77

Amount of Each Receipt this Period

1000.00

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

2100.00

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTSUse separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 16 OF 42

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16
<input type="checkbox"/> 17			

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. Harrington, Thomas, D., ,

Mailing Address 880 Carillon Pkwy

City
Saint PetersburgState
FLZip Code
33716-1102FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Raymond James Financial, Inc.Occupation (for Individual)
Regional Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M	D D	Y Y Y Y
09	28	2016

Transaction ID : 8B6022D89E554D479612

Amount of Each Receipt this Period

500.00

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B. Killian, Christopher, B., ,Mailing Address 120 Broadway
35th FloorCity
New YorkState
NYZip Code
10271FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial MarkOccupation (for Individual)
MD, Head of Securitization

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

770.00

Date of Receipt

M M	D D	Y Y Y Y
09	14	2016

Transaction ID : 2016091210174-1012

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C. Killian, Christopher, B., ,Mailing Address 120 Broadway
35th FloorCity
New YorkState
NYZip Code
10271FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial MarkOccupation (for Individual)
MD, Head of Securitization

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

770.00

Date of Receipt

M M	D D	Y Y Y Y
09	28	2016

Transaction ID : 20160926142753-1012

Amount of Each Receipt this Period

38.50

☐ Memo Item**SUBTOTAL** of Receipts This Page (optional)..... ►

577.00

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTSUse separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER: PAGE 17 OF 42
(check only one)

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12
<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16 <input type="checkbox"/> 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. Krasner, David, B., ,Mailing Address 120 Broadway
35th FloorCity
New YorkState
NYZip Code
10271FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial MarkOccupation (for Individual)
Chief Fin/Admin Officer

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3847.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
09	/	14	/	2016

Transaction ID : 2016091210174-1013

Amount of Each Receipt this Period

192.35

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B. Krasner, David, B., ,Mailing Address 120 Broadway
35th FloorCity
New YorkState
NYZip Code
10271FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial MarkOccupation (for Individual)
Chief Fin/Admin Officer

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3847.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
09	/	28	/	2016

Transaction ID : 20160926142753-1013

Amount of Each Receipt this Period

192.35

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C. Lancia, Nancy, J., ,Mailing Address 120 Broadway
35th FloorCity
New YorkState
NYZip Code
10271FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial MarkOccupation (for Individual)
MD, State Gov Relations

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

770.00

Date of Receipt

M M M	/	D D D	/	Y Y Y Y Y Y
09	/	14	/	2016

Transaction ID : 2016091210174-1014

Amount of Each Receipt this Period

38.50

☐ Memo Item**SUBTOTAL** of Receipts This Page (optional).....▶

423.20

TOTAL This Period (last page this line number only).....▶

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 18 OF 42

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. **Lancia, Nancy, J., ,**

Mailing Address 120 Broadway
35th Floor

City
New York

State
NY

Zip Code
10271

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
MD, State Gov Relations

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

770.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
09 / 28 / 2016

Transaction ID : 20160926142753-1014

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B. **Lazo, Theodore, , ,**

Mailing Address 1101 New York Ave NW
8th Floor

City
Washington

State
DC

Zip Code
20005

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

770.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
09 / 14 / 2016

Transaction ID : 2016091210174-1015

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C. **Lazo, Theodore, , ,**

Mailing Address 1101 New York Ave NW
8th Floor

City
Washington

State
DC

Zip Code
20005

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
MD, Associate Gen Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

770.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
09 / 28 / 2016

Transaction ID : 20160926142753-1015

Amount of Each Receipt this Period

38.50

☐ Memo Item

SUBTOTAL of Receipts This Page (optional).....▶

115.50

TOTAL This Period (last page this line number only).....▶

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 19 OF 42

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. Martin, Laura, A., ,

Mailing Address 120 Broadway
35th Floor

City
New York

State
NY

Zip Code
10271

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
MD, AGC AMG

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

770.00

Date of Receipt

09 / 14 / 2016

Transaction ID : 2016091210174-1016

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B. Martin, Laura, A., ,

Mailing Address 120 Broadway
35th Floor

City
New York

State
NY

Zip Code
10271

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
MD, AGC AMG

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

770.00

Date of Receipt

09 / 28 / 2016

Transaction ID : 20160926142753-1016

Amount of Each Receipt this Period

38.50

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C. Moore, John, , ,

Mailing Address 222 W Adams St

City
Chicago

State
IL

Zip Code
60606-5312

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
William Blair

Occupation (for Individual)
Principal

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

850.00

Date of Receipt

09 / 30 / 2016

Transaction ID : DF6A790DCB3580BCC70

Amount of Each Receipt this Period

850.00

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

927.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 20 OF 42

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. Morgan, John, , ,

Mailing Address 286 Citrus Rd

City
River Ridge

State
LA

Zip Code
70123-2072

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Raymond James Financial Services

Occupation (for Individual)
Branch Owner/Principal

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M M / D D D / Y Y Y Y Y Y
09 / 30 / 2016

Transaction ID : E82BE608D00E4F0DB362

Amount of Each Receipt this Period

500.00

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B. Norris, Edgar, M., , Jr.

Mailing Address 154 Riverplace
Unit 402

City
Greenville

State
SC

Zip Code
29601-2584

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
BB&T Securities

Occupation (for Individual)
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M M / D D D / Y Y Y Y Y Y
09 / 09 / 2016

Transaction ID : 8847E73A0B0A40489877

Amount of Each Receipt this Period

250.00

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C. O'Connor, Patrick, , ,

Mailing Address 3205 W Harbor View Ave

City
Tampa

State
FL

Zip Code
33611-1920

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Raymond James Financial, Inc.

Occupation (for Individual)
Senior Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M M / D D D / Y Y Y Y Y Y
09 / 30 / 2016

Transaction ID : 48D9AA0600CB40738AF4

Amount of Each Receipt this Period

250.00

☐ Memo Item

SUBTOTAL of Receipts This Page (optional).....▶

1000.00

TOTAL This Period (last page this line number only).....▶

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

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☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. Ornstein, David, , ,

Mailing Address 745 7th Ave

City
New York

State
NY

Zip Code
10019-6801

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)

Barclays

Occupation (for Individual)

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

09 / 09 / 2016

Transaction ID : 97855A84C3FF45518B9D

Amount of Each Receipt this Period

5000.00

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B. Ploshay, Bruce, E., ,

Mailing Address 880 Carillon Pkwy

City

Saint Petersburg

State

FL

Zip Code

33716-1102

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)

Raymond James Financial, Inc.

Occupation (for Individual)

Senior Vice President/Investments

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

09 / 22 / 2016

Transaction ID : 33E4B361F92740B8B4DE

Amount of Each Receipt this Period

250.00

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C. Price, Thomas, F., ,

Mailing Address 120 Broadway
35th Floor

City

New York

State

NY

Zip Code

10271

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)

Securities Industry and Financial Mark

Occupation (for Individual)

MD, Tech & Operations

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

1149.47

Date of Receipt

09 / 14 / 2016

Transaction ID : 2016091210174-1018

Amount of Each Receipt this Period

141.75

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

5391.75

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 22 OF 42

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. Price, Thomas, F., ,

Mailing Address 120 Broadway
35th Floor

City
New York

State
NY

Zip Code
10271

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
MD, Tech & Operations

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1149.47

Date of Receipt

09 / 28 / 2016

Transaction ID : 20160926142753-1018

Amount of Each Receipt this Period

141.75

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B. Rorke, Alexander, , ,

Mailing Address 700 Hinman Ave

City
Evanston

State
IL

Zip Code
60202-2559

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Hilliard Lyons

Occupation (for Individual)
Senior Managing Director, Municipal Se

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

09 / 20 / 2016

Transaction ID : 7D0DEF279BC8444BB0C8

Amount of Each Receipt this Period

1000.00

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C. Ross, Jonathan, , ,

Mailing Address 150 Joralemon St

City
Brooklyn

State
NY

Zip Code
11201-4357

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
KCG

Occupation (for Individual)
Chief Technology Officer

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

09 / 26 / 2016

Transaction ID : CA11D84A2CBC4BF0B3CE

Amount of Each Receipt this Period

1000.00

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

2141.75

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 23 OF 42

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. Seitz, Michelle, , ,

Mailing Address 222 W Adams St

City
Chicago

State
IL

Zip Code
60606-5312

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
William Blair

Occupation (for Individual)
Head of Investment

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

850.00

Date of Receipt

MM / DD / YYYY
09 / 30 / 2016

Transaction ID : 23BA9BE02F8F71480CE

Amount of Each Receipt this Period

850.00

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B. Simon, Athur, , ,

Mailing Address 222 W Adams St

City
Chicago

State
IL

Zip Code
60606-5312

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
William Blair

Occupation (for Individual)
Partner and General Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

850.00

Date of Receipt

MM / DD / YYYY
09 / 30 / 2016

Transaction ID : 39A12E022963B2DB37A

Amount of Each Receipt this Period

850.00

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C. Tait, Joseph, , ,

Mailing Address 2024 S 10th Ave

City
Caldwell

State
ID

Zip Code
83605-4843

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Raymond James Financial Services, Inc.

Occupation (for Individual)
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

750.00

Date of Receipt

MM / DD / YYYY
09 / 28 / 2016

Transaction ID : 0811544115324E22A4DB

Amount of Each Receipt this Period

750.00

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

2450.00

TOTAL This Period (last page this line number only)..... ►

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 24 OF 42

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. Tierney, Thomas, P., ,

Mailing Address 120 Broadway
35th Floor

City
New York

State
NY

Zip Code
10271

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
MD, Member Engagement

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

424.76

Date of Receipt

M M / D D / Y Y Y Y Y Y
09 / 14 / 2016

Transaction ID : 2016091210174-1020

Amount of Each Receipt this Period

21.74

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B. Tierney, Thomas, P., ,

Mailing Address 120 Broadway
35th Floor

City
New York

State
NY

Zip Code
10271

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Securities Industry and Financial Mark

Occupation (for Individual)
MD, Member Engagement

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

424.76

Date of Receipt

M M / D D / Y Y Y Y Y Y
09 / 28 / 2016

Transaction ID : 20160926142753-1020

Amount of Each Receipt this Period

21.74

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C. White, Michael, , ,

Mailing Address 251 Rafael Blvd NE

City
Saint Petersburg

State
FL

Zip Code
33704-3825

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)
Raymond James Financial, Inc.

Occupation (for Individual)
Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y Y Y
09 / 19 / 2016

Transaction ID : 3E7315CEA2104B4EB1A7

Amount of Each Receipt this Period

500.00

☐ Memo Item

SUBTOTAL of Receipts This Page (optional).....▶

543.48

TOTAL This Period (last page this line number only).....▶

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 25 OF 42
 (check only one)
☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

<p>A. Full Name of Individual (Last, First, Middle Initial) or Full Organization Name Zindel, Jon, , ,</p> <p>Mailing Address 222 W Adams St</p> <table style="width: 100%;"> <tr> <td style="width: 33%;">City Chicago</td> <td style="width: 15%;">State IL</td> <td style="width: 52%;">Zip Code 60606-5312</td> </tr> </table> <p>FEC ID number of contributing federal political committee. C</p> <table style="width: 100%;"> <tr> <td style="width: 33%;">Name of Employer (for Individual) William Blair</td> <td style="width: 67%;">Occupation (for Individual) Chief Financial Officer</td> </tr> </table> <p>Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼</p> <p style="text-align: right;">Aggregate Year-to-Date ▼ 850.00</p>			City Chicago	State IL	Zip Code 60606-5312	Name of Employer (for Individual) William Blair	Occupation (for Individual) Chief Financial Officer	<p>Date of Receipt 09 / 30 / 2016</p> <p>Transaction ID : 973775A1B579131A20F</p> <p>Amount of Each Receipt this Period 850.00</p> <p><input type="checkbox"/> Memo Item</p>	
City Chicago	State IL	Zip Code 60606-5312							
Name of Employer (for Individual) William Blair	Occupation (for Individual) Chief Financial Officer								
<p>B. Full Name of Individual (Last, First, Middle Initial) or Full Organization Name</p> <p>Mailing Address</p> <table style="width: 100%;"> <tr> <td style="width: 33%;">City</td> <td style="width: 15%;">State</td> <td style="width: 52%;">Zip Code</td> </tr> </table> <p>FEC ID number of contributing federal political committee. C</p> <table style="width: 100%;"> <tr> <td style="width: 33%;">Name of Employer (for Individual)</td> <td style="width: 67%;">Occupation (for Individual)</td> </tr> </table> <p>Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼</p> <p style="text-align: right;">Aggregate Year-to-Date ▼ </p>			City	State	Zip Code	Name of Employer (for Individual)	Occupation (for Individual)	<p>Date of Receipt / / </p> <p>Amount of Each Receipt this Period </p> <p><input type="checkbox"/> Memo Item</p>	
City	State	Zip Code							
Name of Employer (for Individual)	Occupation (for Individual)								
<p>C. Full Name of Individual (Last, First, Middle Initial) or Full Organization Name</p> <p>Mailing Address</p> <table style="width: 100%;"> <tr> <td style="width: 33%;">City</td> <td style="width: 15%;">State</td> <td style="width: 52%;">Zip Code</td> </tr> </table> <p>FEC ID number of contributing federal political committee. C</p> <table style="width: 100%;"> <tr> <td style="width: 33%;">Name of Employer (for Individual)</td> <td style="width: 67%;">Occupation (for Individual)</td> </tr> </table> <p>Receipt For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify)</p> <p style="text-align: right;">Aggregate Year-to-Date ▼ </p>			City	State	Zip Code	Name of Employer (for Individual)	Occupation (for Individual)	<p>Date of Receipt / / </p> <p>Amount of Each Receipt this Period </p> <p><input type="checkbox"/> Memo Item</p>	
City	State	Zip Code							
Name of Employer (for Individual)	Occupation (for Individual)								
<p>SUBTOTAL of Receipts This Page (optional)..... ▶</p> <p>TOTAL This Period (last page this line number only)..... ▶</p>			<p style="text-align: right;">850.00</p> <p style="text-align: right;">27611.16</p>						

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 26 OF 42

(check only one)

☐ 11a ☐ 11b ☒ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. Bank of America Corporation State and Federal PAC

Mailing Address 1100 North King Street,
De5-001-02-07

City
Wilmington

State
DE

Zip Code
19884-0011

FEC ID number of contributing
federal political committee.

C C00043489

Name of Employer (for Individual)

Occupation (for Individual)

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

09 / 20 / 2016

Transaction ID : 8EA0978A8D6A429FA0DD

Amount of Each Receipt this Period

5000.00

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B. Barclays Group US Inc. Political Action Committee

Mailing Address 2001 K Street NW 11th Floor

City

Washington

State

DC

Zip Code

20006

FEC ID number of contributing
federal political committee.

C C00448852

Name of Employer (for Individual)

Occupation (for Individual)

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

09 / 26 / 2016

Transaction ID : 4DD3266ADE1E428A9EB9

Amount of Each Receipt this Period

5000.00

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C. United Services Automobile Association Employee PAC - Usaa Employee PAC

Mailing Address 9800 Fredericksburg Road

City

San Antonio

State

TX

Zip Code

78288

FEC ID number of contributing
federal political committee.

C C00164145

Name of Employer (for Individual)

Occupation (for Individual)

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

09 / 21 / 2016

Transaction ID : FC26AD02FEDD4DA3AC79

Amount of Each Receipt this Period

5000.00

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

15000.00

15000.00

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 27 OF 42

(check only one)

☐ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☒ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

A. SIFMA

Mailing Address 1101 New York Avenue, NW
8th Floor

City
Washington

State
DC

Zip Code
20005

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)

Occupation (for Individual)

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

2912.14

Date of Receipt

M M / D D / Y Y Y Y Y Y
09 / 26 / 2016

Transaction ID : B92F7A49E15848039729

Amount of Each Receipt this Period

415.13

☐ Memo Item

Reimbursement of Bank Fees

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

B.

Mailing Address

City

State

Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)

Occupation (for Individual)

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

☐ Memo Item

Full Name of Individual (Last, First, Middle Initial) or Full Organization Name

C.

Mailing Address

City

State

Zip Code

FEC ID number of contributing
federal political committee.

C

Name of Employer (for Individual)

Occupation (for Individual)

Receipt For:

☐ Primary ☐ General
☐ Other (specify)

Aggregate Year-to-Date ▼

Date of Receipt

M M / D D / Y Y Y Y Y Y

Amount of Each Receipt this Period

☐ Memo Item

SUBTOTAL of Receipts This Page (optional)..... ►

TOTAL This Period (last page this line number only)..... ►

415.13

415.13

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 28 OF 42

<input checked="" type="checkbox"/> 21b	<input type="checkbox"/> 22	<input type="checkbox"/> 23	<input type="checkbox"/> 26	<input type="checkbox"/> 27
<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. PNC Bank

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
09		02		2016

Mailing Address 1400 K Street, NW

City
WashingtonState
DCZip Code
20005Purpose of Disbursement
Bank Fees

001

Category/
Type

Candidate Name

Office Sought:

☐ House
☐ Senate
☐ President

Disbursement For:

☐ Primary ☐ General
☐ Other (specify) ▼

State:

District:

FEC Identification Number

C

Transaction ID : CC9EEE62E6

Amount of Each Disbursement this Period

190.44

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. PNC Bank

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
09		06		2016

Mailing Address 1400 K Street, NW

City
WashingtonState
DCZip Code
20005Purpose of Disbursement
Credit Card Fee

001

Category/
Type

Candidate Name

Office Sought:

☐ House
☐ Senate
☐ President

Disbursement For:

☐ Primary ☐ General
☐ Other (specify) ▼

State:

District:

FEC Identification Number

C

Transaction ID : 817A4F1FD3F

Amount of Each Disbursement this Period

95.88

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. PNC Bank

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
09		19		2016

Mailing Address 1400 K Street, NW

City
WashingtonState
DCZip Code
20005Purpose of Disbursement
Credit Card Fee

001

Category/
Type

Candidate Name

Office Sought:

☐ House
☐ Senate
☐ President

Disbursement For:

☐ Primary ☐ General
☐ Other (specify) ▼

State:

District:

FEC Identification Number

C

Transaction ID : E24E76FA98

Amount of Each Disbursement this Period

7.95

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional)..... ►

294.27

TOTAL This Period (last page this line number only)..... ►

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 29 OF 42

<input checked="" type="checkbox"/> 21b	<input type="checkbox"/> 22	<input type="checkbox"/> 23	<input type="checkbox"/> 26	<input type="checkbox"/> 27
<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. PNC Bank

Mailing Address 1400 K Street, NW

City
WashingtonState
DCZip Code
20005Purpose of Disbursement
Check Printing Fee

001

Category/
Type

Candidate Name

Office Sought:

☐ House
☐ Senate
☐ President

Disbursement For:

☐ Primary ☐ General
☐ Other (specify) ▼

State:

District:

Date of Disbursement

M M	/	D D	/	Y Y Y Y Y Y
09		22		2016

FEC Identification Number

C

Transaction ID : CFF53C1562

Amount of Each Disbursement this Period

120.86

☐ Memo Item

Full Name (Last, First, Middle Initial)

B.

Mailing Address

City

State

Zip Code

Purpose of Disbursement

Candidate Name

Office Sought:

☐ House
☐ Senate
☐ President

Disbursement For:

☐ Primary ☐ General
☐ Other (specify) ▼

State:

District:

Date of Disbursement

M M	/	D D	/	Y Y Y Y Y Y

FEC Identification Number

C

Amount of Each Disbursement this Period

☐ Memo Item

Full Name (Last, First, Middle Initial)

C.

Mailing Address

City

State

Zip Code

Purpose of Disbursement

Candidate Name

Office Sought:

☐ House
☐ Senate
☐ President

Disbursement For:

☐ Primary ☐ General
☐ Other (specify) ▼

State:

District:

Date of Disbursement

M M	/	D D	/	Y Y Y Y Y Y

FEC Identification Number

C

Amount of Each Disbursement this Period

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional)..... ►**TOTAL** This Period (last page this line number only)..... ►

120.86

415.13

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 30 OF 42

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 26	<input type="checkbox"/> 27
<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

Any information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee.

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. A New Direction PAC

Mailing Address 105 N State St

City
ConcordState
NHZip Code
03301Purpose of Disbursement
2016 Contribution

011

Candidate Name

A New Direction PAC

Office Sought:

☐ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☐ General
☒ Other (specify) ▼

State:

District:

Contribution

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			1	5			2	0	1	6		

FEC Identification Number

C C00458570**Transaction ID : 89F3F861037**

Amount of Each Disbursement this Period

1000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Beatty for CongressMailing Address 222 East Town Street
Suite 2WCity
ColumbusState
OHZip Code
43215Purpose of Disbursement
2016 General

011

Candidate Name

Beatty, Joyce, , ,

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify)

State: OH

District: 03

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			1	2			2	0	1	6		

FEC Identification Number

C C00507368**Transaction ID : 9A12993EEDI**

Amount of Each Disbursement this Period

1000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Boozman for Arkansas

Mailing Address PO Box 671

City
RogersState
ARZip Code
72757Purpose of Disbursement
2016 General

011

Candidate Name

Boozman, John, Nichols, ,

Office Sought:

☐ House
☒ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: AR

District:

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			1	2			2	0	1	6		

FEC Identification Number

C C00476317**Transaction ID : D750CA0DB**

Amount of Each Disbursement this Period

1000.00

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional)..... ►

3000.00

TOTAL This Period (last page this line number only)..... ►

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 31 OF 42

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 26	<input type="checkbox"/> 27
<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Conaway for Congress

Mailing Address PO Box 51272

City
MidlandState
TXZip Code
79710-1272Purpose of Disbursement
2016 General

011

Candidate Name

Conaway, K. Michael, , ,Category/
Type

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: TX

District: 11

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			2	0			2	0	1	6		

FEC Identification Number

C C00383828**Transaction ID : C43DC75E89**

Amount of Each Disbursement this Period

2500.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Crowley for Congress

Mailing Address 84-56 Grand Avenue

City
ElmhurstState
NYZip Code
11373Purpose of Disbursement
2016 General

011

Candidate Name

Crowley, Joseph, , ,Category/
Type

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: NY

District: 14

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			2	1			2	0	1	6		

FEC Identification Number

C C00338954**Transaction ID : E217CB93D9**

Amount of Each Disbursement this Period

1000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Devin Nunes Campaign Committee

Mailing Address PO Box 6545

City
VisaliaState
CAZip Code
93290-6545Purpose of Disbursement
2016 General

011

Candidate Name

Nunes, Devin, G., ,Category/
Type

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: CA

District: 22

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			1	2			2	0	1	6		

FEC Identification Number

C C00370056**Transaction ID : B16BBA17F1**

Amount of Each Disbursement this Period

3000.00

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional)..... ►

6500.00

TOTAL This Period (last page this line number only)..... ►

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 32 OF 42

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 26	<input type="checkbox"/> 27
<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Dold for Congress

Mailing Address PO Box 6312

City
LibertyvilleState
ILZip Code
60048Purpose of Disbursement
2016 General

011

Candidate Name

Dold, Robert, James, , Jr.Category/
Type

Office Sought:

☒

House

☐

Senate

☐

President

Disbursement For: 2016

☐

Primary

☒

General

☐

Other (specify) ▼

State: IL

District: 10

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			2	0			2	0	1	6		

FEC Identification Number

C C00465971**Transaction ID : CF53E24BB0**

Amount of Each Disbursement this Period

1500.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. DSCC

Mailing Address 120 Maryland Ave NE

City
WashingtonState
DCZip Code
20002Purpose of Disbursement
2016 Contribution

011

Candidate Name

DSCCCategory/
Type

Office Sought:

☐

House

☐

Senate

☐

President

Disbursement For: 2016

☐

Primary

☐

General

☒

Other (specify)

Contribution

State:

District:

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			1	2			2	0	1	6		

FEC Identification Number

C C00042366**Transaction ID : A295B13B96f**

Amount of Each Disbursement this Period

5000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Duffy for Congress

Mailing Address PO Box 538

City
WausauState
WIZip Code
54402-0538Purpose of Disbursement
2016 General

011

Candidate Name

Duffy, Sean, Patrick, ,Category/
Type

Office Sought:

☒

House

☐

Senate

☐

President

Disbursement For: 2016

☐

Primary

☒

General

☐

Other (specify) ▼

State: WI

District: 07

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			2	1			2	0	1	6		

FEC Identification Number

C C00464339**Transaction ID : B9C736FD53**

Amount of Each Disbursement this Period

1000.00

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional).....▶

7500.00

TOTAL This Period (last page this line number only).....▶

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 33 OF 42

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 26	<input type="checkbox"/> 27
<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Friends of Dave Joyce

Mailing Address 320 Kenarden Drive

City
ClevelandState
OHZip Code
44143-3710Purpose of Disbursement
2016 General

011

Candidate Name

Joyce, David, Patrick, ,

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: OH

District: 14

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			2	6			2	0	1	6		

FEC Identification Number

C C00527457**Transaction ID : 0D3CD3E86D**

Amount of Each Disbursement this Period

1000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Friends of Dennis Ross

Mailing Address Post Office Box 7310

City
LakelandState
FLZip Code
33807Purpose of Disbursement
2016 General

011

Candidate Name

Ross, Dennis, Alan, ,

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: FL

District: 15

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			2	6			2	0	1	6		

FEC Identification Number

C C00459461**Transaction ID : 752C7D0F7F1**

Amount of Each Disbursement this Period

1000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Friends of Erik PaulsenMailing Address PO Box 44369
250 Prairie Center DriveCity
Eden PrairieState
MNZip Code
55344Purpose of Disbursement
2016 General

011

Candidate Name

Paulsen, Erik, , ,

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: MN

District: 03

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			2	6			2	0	1	6		

FEC Identification Number

C C00439661**Transaction ID : 3F2B0F0C20**

Amount of Each Disbursement this Period

1500.00

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional)..... ►

3500.00

TOTAL This Period (last page this line number only)..... ►

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 34 OF 42

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 26	<input type="checkbox"/> 27
<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Friends of Jeb Hensarling

Mailing Address PO Box 820504

City
DallasState
TXZip Code
75382-0504Purpose of Disbursement
2016 General

011

Candidate Name

Hensarling, Thomas, Jeb, ,

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: TX

District: 05

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			1	2			2	0	1	6		

FEC Identification Number

C C00370650**Transaction ID : 2A44A382FA:**

Amount of Each Disbursement this Period

5000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Grassley Committee Inc

Mailing Address PO Box 1000

City
Des MoinesState
IAZip Code
50304-1000Purpose of Disbursement
2016 General

011

Candidate Name

Grassley, Charles, E., ,

Office Sought:

☐ House
☒ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: IA

District:

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			1	2			2	0	1	6		

FEC Identification Number

C C00230482**Transaction ID : 26A5C08BE7:**

Amount of Each Disbursement this Period

1000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Graves for Congress

Mailing Address PO Box 335

City
CalhounState
GAZip Code
30703Purpose of Disbursement
2016 General

011

Candidate Name

Graves, John, Thomas, ,

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: GA

District: 14

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			1	2			2	0	1	6		

FEC Identification Number

C C00462556**Transaction ID : FA716D5985**

Amount of Each Disbursement this Period

1000.00

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional).....▶

7000.00

TOTAL This Period (last page this line number only).....▶

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 35 OF 42

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 26	<input type="checkbox"/> 27
<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Hellerhighwater PAC

Mailing Address PO Box 370672

City
Las VegasState
NVZip Code
89137Purpose of Disbursement
2016 Contribution

011

Category/
Type

Candidate Name

Hellerhighwater PAC

Office Sought:

☐ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☐ General
☒ Other (specify) ▼

State:

District:

Contribution

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
09		26		2016

FEC Identification Number

C C00471607**Transaction ID : 0C0CE43EE6**

Amount of Each Disbursement this Period

2500.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Hoyer for CongressMailing Address 700 13th Street NW
Suite 600City
WashingtonState
DCZip Code
20005Purpose of Disbursement
2016 General

011

Category/
Type

Candidate Name

Hoyer, Steny, Hamilton, ,

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify)

State: MD

District: 05

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
09		15		2016

FEC Identification Number

C C00140715**Transaction ID : 60369C742D7**

Amount of Each Disbursement this Period

1500.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Jason Smith for Congress

Mailing Address PO Box 1324

City
Cape GirardeauState
MOZip Code
63702-1324Purpose of Disbursement
2016 General

011

Category/
Type

Candidate Name

Smith, Jason, Thomas, ,

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: MO

District: 08

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y
09		26		2016

FEC Identification Number

C C00541862**Transaction ID : 81A64B86B2**

Amount of Each Disbursement this Period

4000.00

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional)..... ►

8000.00

TOTAL This Period (last page this line number only)..... ►

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 36 OF 42

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 26	<input type="checkbox"/> 27
<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Kansans for Marshall

Mailing Address PO Box 1588

City
Great BendState
KSZip Code
67530Purpose of Disbursement
2016 Primary Debt Retirement

011

Category/
Type

Candidate Name

Marshall, Roger, W., ,

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☒ Primary ☐ General
☐ Other (specify) ▼

State: KS

District: 01

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			0	7			2	0	1	6		

FEC Identification Number

C C00576173

Transaction ID : D8B24AC34D

Amount of Each Disbursement this Period

1000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Kansans for Marshall

Mailing Address PO Box 1588

City
Great BendState
KSZip Code
67530Purpose of Disbursement
2016 Primary Debt Retirement

011

Category/
Type

Candidate Name

Marshall, Roger, W., ,

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☒ Primary ☐ General
☐ Other (specify) ▼

State: KS

District: 01

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9				1	5		2	0	1	6		

FEC Identification Number

C C00576173

Transaction ID : 3DE7ED587D

Amount of Each Disbursement this Period

2500.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Kuster for Congress, Inc

Mailing Address PO Box 1498

City
ConcordState
NHZip Code
03302Purpose of Disbursement
2016 General

011

Category/
Type

Candidate Name

Kuster, Ann, McLane, ,

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: NH

District: 02

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9				1	2		2	0	1	6		

FEC Identification Number

C C00462861

Transaction ID : E25DEBDC4I

Amount of Each Disbursement this Period

1000.00

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional)..... ►

4500.00

TOTAL This Period (last page this line number only)..... ►

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 37 OF 42

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 26	<input type="checkbox"/> 27
<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Maloney for Congress

Mailing Address 49 East 92nd St

City
New YorkState
NYZip Code
10128Purpose of Disbursement
2016 General

011

Category/
Type

Candidate Name

Maloney, Carolyn, B., ,

Office Sought:

☒

House

☐

Senate

☐

President

Disbursement For: 2016

☐

Primary

☒

General

☐

Other (specify) ▼

State: NY

District: 12

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			1	2			2	0	1	6		

FEC Identification Number

C C00273169**Transaction ID : 07DB8BB94C**

Amount of Each Disbursement this Period

1000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. McConnell Senate Committee

Mailing Address PO Box 1496

City
LouisvilleState
KYZip Code
40201Purpose of Disbursement
2020 Primary

011

Category/
Type

Candidate Name

McConnell, Mitch, , ,

Office Sought:

☐

House

☒

Senate

☐

President

Disbursement For: 2020

☒

Primary

☐

General

☐

Other (specify)

State: KY

District:

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			2	0			2	0	1	6		

FEC Identification Number

C C00193342**Transaction ID : E554357241F**

Amount of Each Disbursement this Period

2500.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. New Democrat Coalition PACMailing Address 700 13th Street, NW
Suite 600City
WashingtonState
DCZip Code
20005Purpose of Disbursement
Void 04-14-2016 Contribution, 2016 Contribution

011

Category/
Type

Candidate Name

New Democrat Coalition PAC

Office Sought:

☐

House

☐

Senate

☐

President

Disbursement For: 2016

☐

Primary

☐

General

☒

Other (specify) ▼

State:

District:

Contribution

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			2	8			2	0	1	6		

FEC Identification Number

C C00409730**Transaction ID : 581A3F48E1**

Amount of Each Disbursement this Period

-5000.00

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional)..... ►

-1500.00

TOTAL This Period (last page this line number only)..... ►

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 38 OF 42

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 26	<input type="checkbox"/> 27
<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. New Democrat Coalition PAC

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
09	/	29	/	2016

Mailing Address 700 13th Street, NW
Suite 600City
WashingtonState
DCZip Code
20005Purpose of Disbursement
2016 Contribution

011

Category/
Type

Candidate Name

New Democrat Coalition PAC

Office Sought:

☐ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☐ General
☒ Other (specify) ▼

State:

District:

Contribution

FEC Identification Number

C C00409730

Transaction ID : C01436546D

Amount of Each Disbursement this Period

5000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Pat Meehan for Congress

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
09	/	12	/	2016

Mailing Address 50 S Providence Rd

City
MediaState
PAZip Code
19063-3531Purpose of Disbursement
2016 General

011

Category/
Type

Candidate Name

Meehan, Patrick, L., ,

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: PA

District: 07

FEC Identification Number

C C00466870

Transaction ID : 1E3B6ADED3

Amount of Each Disbursement this Period

1500.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Perlmutter for Congress

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
09	/	07	/	2016

Mailing Address 3440 Youngfield Street
#264City
Wheat RidgeState
COZip Code
80033Purpose of Disbursement
2016 General

011

Category/
Type

Candidate Name

Perlmutter, Edwin, George, ,

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: CO

District: 07

FEC Identification Number

C C00410639

Transaction ID : FC8CCA921

Amount of Each Disbursement this Period

2000.00

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional)..... ►

8500.00

TOTAL This Period (last page this line number only)..... ►

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

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<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 26	<input type="checkbox"/> 27
<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Pittenger for Congress LLC

Mailing Address PO Box 11207

City
CharlotteState
NCZip Code
28220-1207Purpose of Disbursement
2016 General

011

Candidate Name

Pittenger, Robert, M., ,

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: NC

District: 09

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			2	6			2	0	1	6		

FEC Identification Number

C C00514513**Transaction ID : 7F18262EC5E**

Amount of Each Disbursement this Period

2000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Portman for Senate Committee

Mailing Address 9856 Archer Lane

City
DublinState
OHZip Code
43017-8914Purpose of Disbursement
2016 General

011

Candidate Name

Portman, Rob, J., ,

Office Sought:

☐ House
☒ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: OH

District:

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			0	7			2	0	1	6		

FEC Identification Number

C C00458463**Transaction ID : 7DFB3F9BBA**

Amount of Each Disbursement this Period

1000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Richard E Neal for Congress Committee

Mailing Address 76 Magnolia Terrace

City
SpringfieldState
MAZip Code
01108Purpose of Disbursement
2016 General

011

Candidate Name

Neal, Richard, Edmund, ,

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: MA

District: 01

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			2	0			2	0	1	6		

FEC Identification Number

C C00226522**Transaction ID : 9F303F16EC**

Amount of Each Disbursement this Period

1000.00

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional).....▶

4000.00

TOTAL This Period (last page this line number only).....▶

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

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<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 26	<input type="checkbox"/> 27
<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Rodney for Congress

Mailing Address PO Box 344

City
TaylorvilleState
ILZip Code
62568-0344Purpose of Disbursement
2016 General

011

Category/
Type

Candidate Name

Davis, Rodney, Lee, ,

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: IL

District: 13

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			2	6			2	0	1	6		

FEC Identification Number

C C00521948**Transaction ID : 649C27B0EE**

Amount of Each Disbursement this Period

1000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Roskam for Congress Committee

Mailing Address PO Box 713

City
WheatonState
ILZip Code
60187Purpose of Disbursement
2016 General

011

Category/
Type

Candidate Name

Roskam, Peter, James, ,

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: IL

District: 06

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			2	6			2	0	1	6		

FEC Identification Number

C C00410969**Transaction ID : E3C70E752AI**

Amount of Each Disbursement this Period

1000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Rothfus for Congress

Mailing Address PO Box 435

City
SewickleyState
PAZip Code
15143Purpose of Disbursement
2016 General

011

Category/
Type

Candidate Name

Rothfus, Keith, James, ,

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: PA

District: 12

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			2	0			2	0	1	6		

FEC Identification Number

C C00497115**Transaction ID : 0A474D941B**

Amount of Each Disbursement this Period

1000.00

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional)..... ►

3000.00

TOTAL This Period (last page this line number only)..... ►

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

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<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 26	<input type="checkbox"/> 27
<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Stabenow for US Senate

Mailing Address PO Box 4945

City
East LansingState
MIZip Code
48826Purpose of Disbursement
2018 Primary

011

Category/
Type

Candidate Name

Stabenow, Deborah, , ,

Office Sought:

☐ House
☒ Senate
☐ President

Disbursement For: 2018

☒ Primary ☐ General
☐ Other (specify) ▼

State: MI

District:

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			1	2			2	0	1	6		

FEC Identification Number

C C00344473**Transaction ID : DC8EDD39F6**

Amount of Each Disbursement this Period

1000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Synergy PACMailing Address 6849 Old Dominion Drive
Suite 222City
McLeanState
VAZip Code
22101Purpose of Disbursement
2016 Contribution

011

Category/
Type

Candidate Name

Synergy PAC

Office Sought:

☐ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☐ General
☒ Other (specify)

State:

District:

Contribution

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			2	0			2	0	1	6		

FEC Identification Number

C C00409623**Transaction ID : F01F0FEA6F1**

Amount of Each Disbursement this Period

3500.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. The Richard Burr Committee

Mailing Address Post Office Box 5928

City
Winston-SalemState
NCZip Code
27113Purpose of Disbursement
2016 General

011

Category/
Type

Candidate Name

Burr, Richard, M., ,

Office Sought:

☐ House
☒ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: NC

District:

Date of Disbursement

M	M	M	/	D	D	D	/	Y	Y	Y	Y	Y	Y
0	9			2	0			2	0	1	6		

FEC Identification Number

C C00385526**Transaction ID : AAFA07E42I**

Amount of Each Disbursement this Period

1000.00

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional)..... ►

5500.00

TOTAL This Period (last page this line number only)..... ►

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

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<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 26	<input type="checkbox"/> 27
<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

Full Name (Last, First, Middle Initial)

A. Tiberi for Congress

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
09		20		2016

Mailing Address 2931 E Dublin Granville Road
Suite 190City
ColumbusState
OHZip Code
43231-2098Purpose of Disbursement
2016 General

011

Category/
Type

Candidate Name

Tiberi, Patrick, Joseph, ,

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: OH

District: 12

FEC Identification Number

C C00347492

Transaction ID : 0368F44EA73

Amount of Each Disbursement this Period

1500.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

B. Together Everyone Realizes Real ImPACt Aka Terri PAC

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
09		21		2016

Mailing Address 499 S. Capitol Street, SW
Suite 422City
WashingtonState
DCZip Code
20003Purpose of Disbursement
2016 Contribution

011

Category/
Type

Candidate Name

Together Everyone Realizes Real ImPACt Aka Terri PAC

Office Sought:

☐ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☐ General
☒ Other (specify)

State:

District:

Contribution

FEC Identification Number

C C00525030

Transaction ID : A7625557664

Amount of Each Disbursement this Period

3000.00

☐ Memo Item

Full Name (Last, First, Middle Initial)

C. Tony Cardenas for Congress

Date of Disbursement

M M M	/	D D D	/	Y Y Y Y Y Y
09		07		2016

Mailing Address 249 E. Ocean Blvd. Suite 685

City
Long BeachState
CAZip Code
90802Purpose of Disbursement
2016 General

011

Category/
Type

Candidate Name

Cardenas, Tony, , ,

Office Sought:

☒ House
☐ Senate
☐ President

Disbursement For: 2016

☐ Primary ☒ General
☐ Other (specify) ▼

State: CA

District: 29

FEC Identification Number

C C00498873

Transaction ID : 66EE2E8160

Amount of Each Disbursement this Period

1000.00

☐ Memo Item**SUBTOTAL** of Disbursements This Page (optional).....▶

5500.00

TOTAL This Period (last page this line number only).....▶

65000.00